

Heller Ehrman White & McAuliffe
1666 K Street, N.W., Suite 300
Washington, DC 20006

Date: June 18, 2003

Docket No. 37629-0070

The "Received" stamp of the U.S. Patent & Trademark Office hercon acknowledges receipt of the following:

Applicants: Andreas PLÜCKTHUN et al.

Confirmation No. 8037

Serial No.: 10/019,596

Group Art Unit: Unassigned

Filed: December 26, 2001

For: HETERO-ASSOCIATING COILED-COIL PEPTIDES

- Fee Transmittal
- Transmittal Form
- Revocation and Appointment of New Attorney and Change of Address
- Statement Under 37 CFR 3.73(b)
- Assignment Cover Sheet (w/executed Assignment Document)
- Check #082301 in the amount of \$40.00



File in Mail Room

Date Due: N/A

Inspected by: *lc*

Return to: CGS/ndh

DOCKETED*LC*

HellerEhrman
ATTORNEYS

1666 K Street, NW, Suite 300
Washington, D.C. 20006-1228
Main (202) 912-2000
Fax (202) 912-2020

Facsimile Transmittal

RECEIVED

JUL 31 2003

PCT SPECIAL
PROGRAMS OFFICE

To: Harry Kim, Patent & Trademark Office
Telephone:

Fax: 703-305-2919

From: Pamela D. Hall
Telephone: (202) 912-2189
Direct Fax:

No. of Pages: 9 (including cover)
Date: July 31, 2003

37629.0070 (6620)

Message: Attn: HARRY KIM:

Re: U.S. Serial No. 10/019,596 (PLUCKTHUN et al.); (Our Ref.: 37629-0070)

Per our conversation Harry, here is the filing. Please let me know if you need anything else and thank you so much for your help in this matter. Pam

DC 92358 v1.
7/31/03 4:05 PM (37629.0070)

The information contained in this communication is intended only for the use of the addressee and may be confidential, may be attorney-client privileged and may constitute inside information. Unauthorized use, disclosure or copying is strictly prohibited, and may be unlawful. If you have received this communication in error or you have not received all pages, please call the sender immediately at (202) 912-2000.

Heller Ehrman White & McAuliffe LLP www.hewm.com

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Act of 1995, no persons are required to respond to a collection

Patent and Trademark

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Office: U.S. DEPARTMENT OF COMMERCE
unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 40.00

Application Number	10/019,596
Filing Date	December 26, 2001
First Named Inventor	Andreas PLÜCKTHUN et al.
Examiner Name	Unassigned
Art Unit	Unassigned
Attorney Docket No.	37629-0070

METHOD OF PAYMENT (check one)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number

08-1641 (Docket No. 37629-0070)

Deposit
Account
Name

Heller Ehrman White & McAuliffe LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** = 0		
Multiple Dependent	-3** = 0		

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

* or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Sheet	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	40.00
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee					
* Reduced by Basic Filing Fee Paid					
SUBTOTAL (3)					40.00

SUBMITTED BY

Name (Print/Type) Colin G. Sandercock
Signature [Signature]

Registration No. 31,298
(Attorney/Agent)
Date June 8, 2003

Complete (if applicable)

Telephone (202) 912-2000
Customer No. 26633

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorize payment to the USPTO by check or money order. This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a patent (and by the USPTO to process an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20531. DO NOT SEND FEES OR COMPLETED APPLICATIONS TO THE ADDRESS ABOVE. Send to: Commissioner for Patents, Washington, DC 20531.

PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → ☒

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Applicati n Number	10/019,596
	Filing Date	December 26, 2001
	First Named Inventor	Andreas PLUCKTHUN et al.
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
Total Number of Pages In This Submission	Attorney Docket Number	37629-0070

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <p style="text-align: center;">Statement Under 37 CFR 3.73(b)</p>
<div style="border: 1px solid black; width: 100px; height: 20px; margin: 0 auto; text-align: center;">Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	HELLER EHRMAN WHITE & MCAULIFFE
Signature	<i>[Signature]</i> 31,298
Date	6.18.03

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 			
Typed or printed name			
Signature		Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT TRADEMARK OFFICE



26633

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 37629-0070

In re patent application of

Andreas PLÜCKTHUN et al.

Serial No. 10/019,596

Filed: December 26, 2001

For: HETERO-ASSOCIATING COILED-COIL PEPTIDES

Examiner: Unassigned

Group Art Unit: Unassigned

Confirmation Number: 8037

**REVOCATION AND APPOINTMENT OF NEW ATTORNEY
AND CHANGE OF ADDRESS**Commissioner for Patents
Washington, D.C. 20231

Sir:

Applicant revokes all previous powers of attorney and appoints Colin G. Sandercock Reg. No. 31,298 and the attorneys of HELLER EHRMAN WHITE & McAULIFFE LLP, 1666 K Street, N.W., Suite 300, Washington, D.C. 20006, to transact all business in the Patent and Trademark Office in connection with the above-captioned application. Please associate this application with Customer Number 26633. Please direct all written communications to Colin G. Sandercock at the above mentioned address, and direct all telephone communications to (202) 912-2000.

Respectfully submitted,

University of Zürich

Dated: 12-4-01By: Prof. Borbély
Vice President Research

PTO/SB/98 (08-00)

Approved for use

10/31/2002 OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Plückthun ANDREAS et al.Application No./Patent No.: 10/019,596Filed/Issue Date: December 26, 2001Entitled: HETERO-ASSOCIATING COILED-COIL PEPTIDESUniversity of ZurichUniversity

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel, Frame, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8)

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

13-4-3

Date

[Signature]
Signature

Prof. Borbély

Typed or printed name

Vice President Research

Title

Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office

PATENTS ONLY

Tab settings ⇌ ⇌ ⇌

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Andreas Plöckthun
Katja Arndt
Kristian Müller
Joelle Pelletier

2. Name and address of receiving party(ies)

Name: University of Zürich

Internal _____

Additional name of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____Street Address: Rämistr. 71CH-8006 Zürich, Germany

City: _____ State: _____ Zip: _____

Additional Name(s) & address(es) attached? ☐ Yes ☒ No

Execution Dates: 3/6/03; 3/14/03; 4/2/03

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution data of the application is:

A. Patent Application No.(s)

10/019,596

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning this document should be mailed:

Name: Colin G. SandercockInternal Address: Heller Ehrman White & McAuliffeStreet Address: 1666 K Street, N.W.Suite 300City: WashingtonState: D.C.Zip: 200066. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

08-1641

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Colin G. Sandercock

Name of Person Signing

Signature

Date

6.18.03

PATENT & TRADEMARK OFFICE

Total number of pages including cover sheet, attachments, and documents: 3

26633

Attorney Docket No.: 37629-0070

ASSIGNMENT AND AGREEMENT

WHEREAS, Andreas Plückthun, Katja Arndt, Kristian Müller, and Joelle Pelletier (hereinafter referred to singly and collectively as "ASSIGNOR") invented a certain invention entitled HETERO-ASSOCIATING COILED-COIL PEPTIDES for which an application for United States Letters Patent was filed on December 26, 2001 as Application No. 10/019,596; and

WHEREAS, University of Zürich, having its principal place of business at Rämistr. 71 CH-8006 Zürich (hereinafter referred to as "ASSIGNEE") is desirous of acquiring the entire interest therein;

NOW THEREFORE, in view of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto ASSIGNEE, its successors and assigns, the full and exclusive right, title, and interest in and to (a) the above-identified invention or inventions and all improvements and modifications thereof, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for the above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the International Convention and any other international agreement to which the United States adheres; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE, its successors and assigns, or their representatives or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

Attorney D cket No.: 37629-0070

ASSIGNOR HEREBY GRANTS to the law firm of Heller Ehrman White & McAuliffe the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of Heller Ehrman White & McAuliffe do not personally represent ASSIGNOR or ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.

NAMES AND SIGNATURES OF INVENTORS		
Name: Andreas Plückthun	Signature: <i>Andreas Plückthun</i>	Date: April 2, 2003
Name: Katja Arndt	Signature: <i>K. Arndt</i>	Date: March 6, 03
Name: Kristian Müller	Signature: <i>K. Müller</i>	Date: 6. 3. 2003
Name: Joelle Pelletier	Signature: <i>Joelle Pelletier</i>	Date: 14/3/03
NAMES AND SIGNATURES OF WITNESSES		
Name: Annemarie Vogt	Signature: <i>Annemarie Vogt</i>	Date: April 2, 2003
Name: Jochen Hecky	Signature: <i>Jochen Hecky</i>	Date: March 6, 03
Name: Jochen Hecky	Signature: <i>Jochen Hecky</i>	Date: March 6, 03
Name: JEFFREY KELLER	Signature: <i>Jeffrey Keller</i>	Date: 14/03/03